

TREATY WITH ROMANIA ON MUTUAL LEGAL  
ASSISTANCE IN CRIMINAL MATTERS

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MESSAGE

FROM

**THE PRESIDENT OF THE UNITED STATES**

TRANSMITTING

TREATY BETWEEN THE GOVERNMENT OF THE UNITED STATES  
OF AMERICA AND THE GOVERNMENT OF ROMANIA ON MUTUAL  
LEGAL ASSISTANCE IN CRIMINAL MATTERS, SIGNED AT WASH-  
INGTON ON MAY 26, 1999



FEBRUARY 3, 2000.—Treaty was read the first time, and together with  
the accompanying papers, referred to the Committee on Foreign Rela-  
tions and ordered to be printed for the use of the Senate

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U.S. GOVERNMENT PRINTING OFFICE



## LETTER OF TRANSMITTAL

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THE WHITE HOUSE, *February 3, 2000.*

*To the Senate of the United States:*

With a view to receiving the advice and consent of the Senate to ratification, I transmit herewith the Treaty Between the Government of the United States of America and the Government of Romania on Mutual Legal Assistance in Criminal Matters, signed at Washington on May 26, 1999. The report of the Department of State with respect to the Treaty is enclosed.

The Treaty is one of a series of modern mutual legal assistance treaties being negotiated by the United States in order to counter criminal activities more effectively. The Treaty should be an effective tool to assist in the prosecution of a wide variety of crimes, including terrorism and drug trafficking offenses. The Treaty is self-executing.

The Treaty provides for a broad range of cooperation in criminal matters. Mutual assistance available under the Treaty includes taking the testimony or statements of persons; providing documents, records, and items of evidence; locating or identifying persons or items; serving documents; transferring persons in custody for testimony or other purposes; executing requests for searches and seizures; assisting in proceedings related to immobilization and forfeiture of assets, restitution, and collection of fines; and any other form of assistance not prohibited by the laws of the Requested State.

I recommend that the Senate give early and favorable consideration to the Treaty and give its advice and consent to ratification.

WILLIAM J. CLINTON.



## LETTER OF SUBMITTAL

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DEPARTMENT OF STATE,  
*Washington, December 10, 1999.*

The PRESIDENT,  
*The White House.*

THE PRESIDENT: I have the honor to submit to you the Treaty Between the United States of America and Romania on Mutual Legal Assistance in Criminal Matters (the "Treaty"), signed at Washington on May 26, 1999. I recommend that the Treaty be transmitted to the Senate for its advice and consent to ratification.

The Treaty covers mutual legal assistance in criminal matters. In recent years, similar bilateral treaties have entered into force with a number of countries. This Treaty contains many provisions similar to those in the other treaties and all of the essential provisions sought by the United States. It will enhance our ability to investigate and prosecute a variety of offenses, including money-laundering and drug-trafficking offenses of particular interest to the U.S. law enforcement community.

The Treaty is designed to be self-executing and will not require new legislation. Article 1 sets forth a non-exclusive list of the major types of assistance to be provided under the Treaty, including taking the testimony or statements of persons; providing documents, records and other items; locating or identifying persons or items; serving documents; transferring persons in custody for testimony or other purposes; executing searches and seizures; assisting in proceedings related to immobilization and forfeiture of assets, restitution, and collection of fines; and any other form of assistance not prohibited by the laws of the Requested State.

The scope of the Treaty includes not only criminal offenses, but also proceedings related to criminal matters, which may be civil or administrative in nature. Article 1(3) states that, except as otherwise provided in the Treaty, assistance shall be provided without regard to whether the conduct that is the subject of an investigation, prosecution, or proceeding in the Requesting State would constitute an offense under the laws of the Requested State.

Article 1(4) states explicitly that the Treaty is not intended to create rights of private parties to obtain, suppress, or exclude any evidence, or to impede the execution of a request.

Article 2 provides for the establishment of Central Authorities and defines Central Authorities for purposes of the Treaty. For the United States, the Central Authority is the Attorney General or a person designated by the Attorney General. For Romania, the Central Authority is the Minister of Justice. The article also provides

that the Central Authorities shall communicate directly with one another for the purposes of the Treaty.

Article 3 sets forth the circumstances under which a Requested State's Central Authority may deny assistance under the Treaty. A request may be denied if: (i) it relates to an offense under military law that would not be an offense under ordinary criminal law, (ii) its execution would prejudice the security or similar essential interests of the Requested State, (iii) the request relates to an offense which is considered by the Requested State to be a political offense (a term the meaning of which is well-defined in the extradition context and expected to be defined on that basis in connection with mutual assistance), or (iv) it is not made in conformity with the Treaty.

Before denying assistance, the Central Authority of the Requested State is required under Article 3(2) to consult with its counterpart in the Requesting State to consider whether assistance can be given subject to such conditions as the Central Authority of the Requested State deems necessary. If the Requesting State accepts assistance subject to such conditions, it is required to comply with the conditions. If the Central Authority of the Requested State denies assistance, it is required under Article 3(3) to inform the Central Authority of the Requesting State of the reasons for the denial. Under Article 3(4), the Requested State cannot refuse to execute a request on the ground of bank secrecy.

Article 4 prescribes the form and content of written requests under the Treaty, specifying in detail the information required in each request. The article permits requests to be made in other forms in urgent situations, but requires written confirmation within ten days unless the Central Authority of the Requested State agrees otherwise. The request must also be translated into the language of the Requested State, unless otherwise agreed. Any supporting documentation must be translated into the language of the Requested State, if necessary, upon request of the Requested State.

Article 5(1) requires the Central Authority of the Requested State to execute the request promptly or to transmit it to the authority having jurisdiction to do so. It provides that the competent authorities of the Requested State must do everything in their power to execute a request, and that the competent judicial or other authorities of the Requested State must have power to issue subpoenas, search warrants, or other orders necessary to execute the request. Under Article 5(2), the Central Authority of the Requested State must make all necessary arrangements for representation of the Central Authority of the Requesting State in the execution of a request for assistance in the Requested State.

Under Article 5(3), requests are to be executed according to the laws and procedures of the Requested State except to the extent that the Treaty provides otherwise. However, procedures specified in the request are to be followed except to the extent that those procedures cannot lawfully be followed in the Requested State. Under Article 5(4), if the Central Authority of the Requested State determines that execution of the request would interfere with an ongoing criminal investigation, prosecution, or proceeding in that State, it may postpone execution or, after consulting with the Central Authority of the Requesting State, impose conditions on execu-

tion. If the Requesting State accepts assistance subject to such conditions, it shall comply with them.

Article 5(5) further requires the Requested State, if so requested, to use its best efforts to keep confidential a request and its contents, and to inform the Requesting State's Central Authority, prior to the execution of the request, if the request cannot be executed without breaching such confidentiality. This provides the Requesting State an opportunity to decide whether to pursue the request or to withdraw it in order to maintain confidentiality.

Article 5 additionally requires the Requested State's Central Authority to respond to reasonable inquiries by the Requesting State's Central Authority regarding the status of the execution of a request; to report promptly to the Requesting State's Central Authority the outcome of its execution; and, if execution of the request is denied, delayed or postponed, to inform the Requesting State's Central Authority of the reasons therefor.

Article 6 apportions between the two States the costs incurred in executing a request. It provides that the Requested State shall pay all costs, including the costs of representation, except for the following items to be paid by the Requesting State: fees of experts, costs of translation, interpretation, and transcription, and the allowances and expenses related to travel of persons pursuant to Articles 10, 11 and 12. If during the execution of a request it becomes apparent that complete execution will entail expenses of an extraordinary nature, the Central Authorities shall consult to determine the terms and conditions under which execution may continue.

Article 7(1) requires the Requesting State to comply with any request by the Central Authority of the Requested State that information or evidence obtained under the Treaty not be used for any investigation, prosecution, or proceeding other than that described in the request without its prior consent. Further, under Article 7(2), if the Requested State's Central Authority asks that information or evidence furnished be kept confidential or be used in accordance with specified conditions, and the Requesting State accepts the information subject to such conditions, the Requesting State must use its best efforts to comply with the conditions. Article 7(3) provides that nothing in this article prevents the use or disclosure of information or evidence to the extent that there is an obligation to do so under the Constitution of the Requested State in a criminal prosecution. The Requesting State is obliged to notify the Requested State in advance of any such proposed use or disclosure. Once information is made public in the Requesting State in accordance with Article 7(1) or 7(2), no further limitations on use apply.

Article 8(1) provides that a person in the Requested State from whom testimony or evidence is requested shall be compelled, if necessary, to appear, testify, or produce items, including documents, records, and other articles of evidence. Article 8(2) requires the Central Authority of the Requested State, upon request, to furnish information in advance about the date and place of the taking of testimony or evidence.

Article 8(3) further requires the Requested State to permit the presence of persons specified in the request (such as the accused, counsel for the accused, or other interested persons) and to permit

them to question directly or indirectly the person giving the testimony or evidence. The persons present at the execution of a request shall be permitted to make a verbatim record of the proceedings. The use of technical means to make such a verbatim record shall be permitted.

In the event that a person whose testimony or evidence is being taken asserts a claim of immunity, incapacity or privilege under the laws of the Requesting State, but not under the laws of the Requested State, Article 8(4) provides that the testimony or evidence shall be taken and the claim made known to the Central Authority of the Requesting State for resolution by its authorities.

Finally, in order to ensure admissibility in evidence in the Requesting State, Article 8(5) provides a mechanism, through the use of Forms A and B, which are appended to the Treaty, for certifying evidence, including business records, that is produced pursuant to or that is the subject of testimony taken in the Requested State (or certifying its absence or nonexistence).

Article 9(1) requires that the Requested State provide the Requesting State with copies of publicly available records in the possession of a governmental or judicial authority in the Requested State. Under Article 9(2), the Requested State may further provide copies of records or information in any form in the possession of a governmental or judicial authority in that State, but not publicly available, to the same extent and under the same conditions as it would provide them to its own governmental or judicial authorities. The Requested State has the discretion to deny such requests entirely or in part. Article 9(3) provides that no further certification shall be necessary for admissibility into evidence in the Requesting State of official records where the official in charge of maintaining them certifies the records through the use of Form C appended to the Treaty. In like manner, the absence or nonexistence of such records is, upon request, to be certified by the use of Form D, which shall be admissible in evidence in the Requesting State.

Article 10(1) provides a mechanism for the Requesting State to invite the voluntary appearance in its territory of a person located in the Requested State or in a third State for the purpose of assistance under the Treaty. If necessary, the Requesting State shall be responsible for obtaining authorization from a third State. Article 10(2) provides that the Requesting State shall indicate the extent to which the person's expenses will be paid.

Article 10(3) provides that the Central Authority of the Requesting State has discretion to determine that a person appearing in the Requesting State pursuant to this article shall not be subject to service of process, or be detained or subjected to any restriction of personal liberty by reason of any acts or convictions that preceded the person's departure from the Requested State. Under Article 10(4), any safe conduct provided for by this Article ceases seven days after the Central Authority of the Requesting State has notified the Central Authority of the Requested State that the person's presence is no longer required, or when the person having left, has voluntarily returned. The Central Authority of the Requesting State may extend this safe conduct period for up to fifteen days if it determines that there is good cause to do so.



Article 11 provides for temporary transfer of a person in custody in the Requested State to the Requesting State or a third State for purposes of assistance under the Treaty (for example, a witness incarcerated in the Requested State may be transferred to the Requesting State or to a third State to have his deposition taken in the presence of the defendant), provided that the person in question and the Central Authorities of both States agree. If necessary, the Requesting State shall be responsible for obtaining any authorization from a third State. The article also provides for voluntary transfer of a person in the custody of the Requesting State to the Requested State for purposes of assisting under the Treaty (for example, a defendant in the Requesting State may be transferred for purposes of attending a witness deposition in the Requested State), if the person consents and if the Central Authorities of both States agree.

Article 11(3) further establishes both the express authority and the obligation of the receiving State to maintain the person transferred in custody unless otherwise authorized by the sending States. The return of the person transferred is subject to terms and conditions agreed to by the Central Authorities, and the sending State is not required to initiate extradition proceedings for return of the person transferred. The person transferred receives credit for service of the sentence imposed in the sending State for time served in the custody of the receiving State.

Article 12(1) provides that a Requested State may authorize the transit through its territory of a person held in custody by the Requesting State or a third State, whose appearance has been requested in an investigation, prosecution, or proceeding in the Requesting State. Article 12(2) establishes the authority and obligation of the Requested State to maintain the person transferred in custody.

If the Requesting State seeks the location or identity of persons or items in the Requested State, Article 13 requires the Requested State to use its best efforts to ascertain the location or identity of such persons or items.

Article 14 obligates the Requested State to use its best efforts to effect service of any document relating, in whole or in part, to a request under the Treaty. A request for the service of a document requiring a person to appear in the Requesting State must be transmitted a reasonable time before the scheduled appearance. Proof of service is to be provided in the manner specified in the request.

Article 15 obligates the Requested State to execute requests for search, seizure, and transfer of any item to the Requesting State if the request includes the information justifying such action under the laws of the Requested State. The Article also provides that, upon request, every official who has custody of a seized item certify, through the use of Form E appended to the Treaty, the identity of the item, the continuity of the item's custody and any changes in its condition. No further certification is required and the Forms are admissible in evidence in the Requested State. Article 15(3) further provides that the Central Authority of the Requested State may impose upon the Requesting State terms and

conditions deemed necessary to protect third-party interests in items to be transferred.

Article 16 requires the Requesting State's Central Authority, upon request of its counterpart in the Requested State, to return documents, records or other articles of evidence obtained in the execution of a request under the Treaty as soon as possible.

Article 17(1) provides that, if the Central Authority of one Contracting Party becomes aware of proceeds or instrumentalities of offenses that are located in the other Contracting Party and may be forfeitable or otherwise subject to seizure under the laws of that Party, it may so inform the Central Authority of that other Contracting Party. If the Party receiving such information has jurisdiction, it may present this information to its authorities for a determination whether any action is appropriate. The Central Authority of the Contracting Party receiving such information is required to inform the Central Authority of the Contracting Party that provided the information of the action taken.

Article 17(2) also obligates the Central Parties to assist each other to the extent permitted by their respective laws in proceedings relating to forfeiture of proceeds and instrumentalities of offenses, restitution to victims of crime, and collection of fines imposed as sentences in criminal prosecutions. Under Article 17(3), the Contracting Party having custody over proceeds or instrumentalities of offenses is required to dispose of them in accordance with its laws. Either Contracting Party may share all or part of such forfeited assets, or the proceeds of their sale, with the other contracting Party, to the extent not prohibited by the transferring Contracting Party's laws and upon such terms as it deems appropriate.

Article 18 states that assistance and procedures provided in the Treaty will not prevent either Contracting Party from granting assistance to the other Contracting Party through the provisions of other applicable international agreements or through the provisions of its national laws. The Contracting Parties may also provide assistance pursuant to any bilateral arrangement, agreement or practice that may be applicable.

Article 19 provides that the Central Authorities shall consult, at times mutually agreed, to promote the most effective use of the Treaty, and may agree upon such practical measures as may be necessary to facilitate the Treaty's implementation.

Article 20(1) provides that the Treaty is subject to ratification and the Treaty will enter into force upon the exchange of instruments of ratification. Article 20(3) provides that the Treaty applies to requests presented after the date of its entry into force, whether the relevant acts or omission occurred prior to or after that date. Article 20(4) provides that either Contracting Party may terminate the Treaty by written notice to the other Contracting Party, termination to take effect six months following the date of notification.

A Technical Analysis explaining in detail the provisions of the Treaty is being prepared by the United States negotiating delegation, consisting of representatives from the Departments of Justice and State, and will be transmitted separately to the Senate Committee on Foreign Relations.

The Department of Justice joins the Department of State in favoring approval of this Treaty by the Senate as soon as possible.  
Respectfully submitted,

STROBE TALBOT.



**TREATY BETWEEN  
THE UNITED STATES OF AMERICA  
AND  
ROMANIA  
ON MUTUAL LEGAL  
ASSISTANCE IN CRIMINAL MATTERS**

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**The United States of America and Romania,**

**Desiring to improve the effectiveness of both countries in the investigation, prosecution, and prevention of crime through cooperation and mutual legal assistance in criminal matters,**

**Have agreed as follows:**



**Article 1**

**Scope of Assistance**

1. The Contracting Parties shall provide mutual assistance, in accordance with the provisions of this Treaty, in connection with the investigation, prosecution, and prevention of offenses, and in proceedings related to criminal matters.

2. Assistance shall include:

- (a) taking the testimony or statements of persons;
- (b) providing documents, records, and other items;
- (c) locating or identifying persons or items;
- (d) serving documents;
- (e) transferring persons in custody for testimony or other purposes;
- (f) executing searches and seizures;
- (g) assisting in proceedings related to immobilization and forfeiture of assets; restitution; collection of fines; and
- (h) any other form of assistance not prohibited by the laws of the Requested State.

3. Except as otherwise provided in this Treaty, assistance shall be provided without regard to whether the conduct that is the subject of the investigation, prosecution, or proceeding in the Requesting State would constitute an offense under the laws of the Requested State.

4. This Treaty is intended solely for mutual legal assistance between the Contracting Parties. The provisions of this Treaty shall not give rise to a right on the part of any private person to obtain, suppress, or exclude any evidence, or to impede the execution of a request.

**Article 2**  
**Central Authorities**

1. Each Contracting Party shall designate a Central Authority to make and receive requests pursuant to this Treaty.
2. For the United States of America, the Central Authority shall be the Attorney General or a person designated by the Attorney General. For Romania, the Central Authority shall be the Minister of Justice.
3. The Central Authorities shall communicate directly with one another for the purposes of this Treaty.

**Article 3**  
**Limitations on Assistance**

1. The Central Authority of the Requested State may deny assistance if:
  - (a) the request relates to an offense under military law that would not be an offense under ordinary criminal law;
  - (b) the execution of the request would prejudice the security or similar essential interests of the Requested State;
  - (c) the request relates to an offense which is considered by the Requested State to be a political offense; or
  - (d) the request is not made in conformity with the Treaty.
2. Before denying assistance pursuant to this Article, the Central Authority of the Requested State shall consult with the Central Authority of the Requesting State to consider whether assistance can be given subject to such conditions as it deems necessary. If the Requesting State accepts assistance subject to these conditions, it shall comply with the conditions.

3. If the Central Authority of the Requested State denies assistance pursuant to this Article, it shall inform the Central Authority of the Requesting State of the reasons for the denial.

4. The Requested State shall not refuse to execute a request on the ground of bank secrecy.

#### Article 4

##### Form and Contents of Requests

1. A request for assistance shall be in writing except that the Central Authority of the Requested State may accept a request in another form in urgent situations. If the request is not in writing, it shall be confirmed in writing within ten days unless the Central Authority of the Requested State agrees otherwise.

2. The request shall be translated into the language of the Requested State unless otherwise agreed. Any supporting documentation shall be translated into the language of the Requested State, if necessary, upon request by the Requested State.

3. The request shall include the following:

- (a) the name of the authority conducting the investigation, prosecution, or proceeding to which the request relates;
- (b) a description of the subject matter and nature of the investigation, prosecution, or proceeding, including the specific criminal offenses that relate to the matter;
- (c) a description of the evidence, information, or other assistance sought; and
- (d) the reasons for which the evidence, information, or other assistance is sought.

4. To the extent necessary and possible, a request shall also include:

- (a) information on the identity and location of any person from whom evidence is sought;

- (b) information on the identity and location of a person to be served, that person's relationship to the proceeding, and the manner in which service is to be made;
- (c) information on the identity and suspected location of a person or item to be located;
- (d) a precise description of the place or person to be searched and of the item to be seized;
- (e) a description of the manner in which any testimony or statement is to be taken and recorded;
- (f) a description of the testimony or statement sought, which may include a list of questions to be asked of a person;
- (g) a description of any particular procedure to be followed in executing the request;
- (h) information as to the allowances and expenses to which a person asked to appear in the Requesting State will be entitled;
- (i) any time limit within which the request should be executed; and
- (j) any other information that may be brought to the attention of the Requested State to facilitate its execution of the request.

#### Article 5

#### Execution of Requests

1. The Central Authority of the Requested State shall promptly execute the request or, when appropriate, shall transmit it to the authority having jurisdiction to do so. The competent authorities of the Requested State shall do everything in their power to execute the request. The competent judicial or other authorities of the Requested State shall have power to issue subpoenas, search warrants, or other orders necessary to execute the request.

2. The Central Authority of the Requested State shall make all necessary arrangements for representation of the Central Authority of the Requesting State in the execution of a request for assistance in the Requested State.

3. Requests shall be executed according to the laws and procedures of the Requested State except to the extent that this Treaty provides otherwise. Procedures specified in the request shall be followed except to the extent that those procedures cannot lawfully be followed in the Requested State.

4. If the Central Authority of the Requested State determines that execution of a request would interfere with an ongoing criminal investigation, prosecution, or proceeding in that State, it may postpone execution, or make execution subject to conditions determined to be necessary after consultations with the Central Authority of the Requesting State. If the Requesting State accepts the assistance subject to the conditions, it shall comply with the conditions.

5. The Requested State shall use its best efforts to keep confidential a request and its contents if such confidentiality is requested by the Central Authority of the Requesting State. If the request cannot be executed without breaching such confidentiality, the Central Authority of the Requested State shall, prior to the execution of the request, so inform the Central Authority of the Requesting State, which shall then determine whether the request should nevertheless be executed.

6. The Central Authority of the Requested State shall respond to reasonable inquiries by the Central Authority of the Requesting State concerning progress toward execution of the request.

7. The Central Authority of the Requested State shall promptly inform the Central Authority of the Requesting State of the outcome of the execution of a request. If execution of the request is denied, delayed, or postponed, the Central Authority of the Requested State shall inform the Central Authority of the Requesting State of the reasons therefor.

**Article 6**

**Costs**

1. The Requested State shall pay all costs relating to the execution of a request, including the costs of representation, except for the following, which shall be paid by the Requesting State:

- (a) the fees of experts;
- (b) the costs of translation, interpretation, and transcription; and
- (c) the allowances and expenses related to travel of persons pursuant to Articles 10, 11 and 12.

2. If during the execution of a request it becomes apparent that complete execution will entail expenses of an extraordinary nature, the Central Authorities shall consult to determine the terms and conditions under which execution may continue.

**Article 7**

**Limitations on Use**

1. The Central Authority of the Requested State may require that the Requesting State not use any information or evidence obtained under this Treaty in any investigation, prosecution, or proceeding other than that described in the request without the prior consent of the Central Authority of the Requested State. In such situations, the Requesting State shall comply with the requirement.

2. The Central Authority of the Requested State may request that information or evidence furnished under this Treaty be kept confidential or be used only subject to terms and conditions it may specify. If the Requesting State accepts the information or evidence subject to such conditions, the Requesting State shall use its best efforts to comply with the conditions.

3. Nothing in this Article shall preclude the use or disclosure of information or evidence to the extent that there is an obligation to do so under the Constitution of the

Requesting State in a criminal prosecution. The Requesting State shall notify the Requested State in advance of any such use or disclosure.

4. Information or evidence that has been made public in the Requesting State in a manner consistent with paragraph 1 or 2 may thereafter be used.

#### Article 8

##### Testimony or Evidence in the Requested State

1. A person in the Requested State from whom testimony or evidence is requested shall be compelled, if necessary, to appear, testify, or produce items, including documents, records and articles of evidence.

2. Upon request, the Central Authority of the Requested State shall furnish information in advance about the date and place of the taking of the testimony or evidence pursuant to this Article.

3. The Requested State shall permit the presence of such persons as specified in the request during the execution of the request and shall allow such persons to pose questions to be asked of the person giving the testimony or evidence. The persons present at the execution of a request shall be permitted to make a verbatim record of the proceedings. The use of technical means to make such a verbatim record shall be permitted.

4. If the person referred to in paragraph 1 asserts a claim of immunity, incapacity, or privilege under the laws of the Requesting State, but not under the laws of the Requested State, the testimony or evidence shall nonetheless be taken and the claim made known to the Central Authority of the Requesting State for resolution by the authorities of that State.

5. Evidence that has been produced in the Requested State pursuant to this Article or that has been the subject of testimony taken under this Article shall, upon

request, be certified by an attestation, including, in the case of business records, certification in the manner indicated in Form A appended to this Treaty. The absence or nonexistence of such records shall, upon request, be certified through the use of Form B appended to this Treaty. Records certified by Form A, or Form B certifying the absence or nonexistence of such records, shall be admissible in evidence in the Requesting State.

#### Article 9 Official Records

1. The Requested State shall provide the Requesting State with copies of publicly available records, including documents or information in any form, in the possession of a governmental or judicial authority in the Requested State.

2. The Requested State may provide copies of any records, including documents or information in any form, that are in the possession of a governmental or judicial authority in that State but that are not publicly available, to the same extent and under the same conditions as such copies would be available to the Requested State's own governmental or judicial authorities. The Requested State may in its discretion deny a request for records that are not publicly available, entirely or in part.

3. Records produced pursuant to this Article shall, upon request, be certified by an official responsible for maintaining them through the use of Form C appended to this Treaty. The absence or nonexistence of such records shall, upon request, be certified by an official responsible for maintaining similar records through the use of Form D appended to this Treaty. No further certification shall be necessary. Records certified by Form C, or Form D certifying the absence or nonexistence of such records, shall be admissible in evidence in the Requesting State.

#### Article 10 Appearance Outside of the Requested State

1. When the Requesting State requests that a person in the Requested State appear in the Requesting State or in a third state for the purpose of assistance under this



Treaty, the Requested State shall invite the person to do so. The person may agree or refuse to appear. The Central Authority of the Requested State shall promptly inform the Central Authority of the Requesting State of the person's response. If necessary, the Requesting State shall be responsible for obtaining any authorization from a third state.

2. The Requesting State shall indicate the extent to which the person's expenses will be paid. A person who agrees to appear may ask that the Requesting State advance money to cover these expenses. This advance may be provided through the Embassy or a consulate of the Requesting State.

3. The Central Authority of the Requesting State may, in its discretion, determine that a person appearing in the Requesting State pursuant to this Article shall not be subject to service of process, or be detained or subjected to any restriction of personal liberty, by reason of any acts or convictions that preceded the person's departure from the Requested State.

4. The safe conduct provided for in paragraph 3 of this Article shall cease seven days after the Central Authority of the Requesting State has notified the Central Authority of the Requested State that the person's presence is no longer required, or when the person, having left the Requesting State, voluntarily returns. The Central Authority of the Requesting State may, in its discretion, extend this period for up to fifteen days if it determines that there is good cause to do so.

#### Article 11

##### Transfer of Persons in Custody

1. A person in the custody of the Requested State whose presence in the Requesting State or in a third state is sought for purposes of assistance under this Treaty shall be transferred from the Requested State for that purpose if the person consents and if the Central Authorities of both States agree. If necessary, the Requesting State shall be responsible for obtaining any authorization from a third state.

2. A person in the custody of the Requesting State whose presence in the Requested State is sought for purposes of assistance under this Treaty may be transferred from the Requesting State to the Requested State for that purpose if the person consents and if the Central Authorities of both States agree.

3. For purposes of this Article:

- (a) the receiving State shall have the authority and the obligation to keep the person transferred in custody unless otherwise authorized by the sending State;
- (b) the receiving State shall return the person transferred to the custody of the sending State as soon as circumstances permit or as otherwise agreed by both Central Authorities;
- (c) the receiving State shall not require the sending State to initiate extradition or any other proceedings for the return of the person transferred; and
- (d) the person transferred shall receive credit for service of the sentence imposed in the sending State for time served in the custody of the receiving State.

#### Article 12

##### Transit of Persons in Custody

1. The Requested State may authorize the transit through its territory of a person held in custody, by the Requesting State or a third State, whose personal appearance has been requested by the Requesting State in an investigation, prosecution, or proceeding.

2. The Requested State shall have the authority and the obligation to keep the person in custody during transit.

**Article 13**

**Location or Identification of Persons or Items**

**If the Requesting State seeks the location or identity of persons or items in the Requested State, the Requested State shall use its best efforts to ascertain the location or identity.**

**Article 14**

**Service of Documents**

**1. The Requested State shall use its best efforts to effect service of any document relating, in whole or in part, to any request for assistance made by the Requesting State under the provisions of this Treaty.**

**2. The Requesting State shall transmit any request for the service of a document requiring the appearance of a person before an authority in the Requesting State a reasonable time before the scheduled appearance.**

**3. The Requested State shall return a proof of service in the manner specified in the Request.**

**Article 15**

**Search and Seizure**

**1. The Requested State shall execute a request that it search for, seize, and transfer any item to the Requesting State if the request includes the information justifying such action under the laws of the Requested State.**

**2. Upon request, every official who has custody of a seized item shall certify, through the use of Form E appended to this Treaty, the identity of the item, the continuity of custody, and any changes in condition. No further certification shall be required. The Forms shall be admissible in evidence in the Requesting State.**

**3. The Central Authority of the Requested State may require that the**

Requesting State agree to terms and conditions deemed to be necessary to protect third party interests in the item to be transferred.

**Article 16**  
**Return of Items**

The Central Authority of the Requested State may require that the Central Authority of the Requesting State return, as soon as possible, any items, including documents, records and other articles of evidence, furnished to it in execution of a request under this Treaty.

**Article 17**  
**Proceeds and Instrumentalities of Offenses**

1. If the Central Authority of one Contracting Party becomes aware that proceeds or instrumentalities of offenses that may be forfeitable or otherwise subject to seizure are located in the other Contracting Party, it may so inform the Central Authority of the other Contracting Party. If the Contracting Party receiving such information has jurisdiction in this regard, it may present this information to its authorities for a determination whether any action is appropriate. These authorities shall issue their decision in accordance with the laws of their country. The Central Authority of the Contracting Party that received the information shall inform the Central Authority of the Contracting Party that provided the information of the action taken.

2. The Contracting Parties shall assist each other to the extent permitted by their respective laws in proceedings relating to the forfeiture of the proceeds and instrumentalities of offenses, restitution to the victims of crime, and the collection of fines imposed as sentences in criminal prosecutions. This may include action to temporarily immobilize the proceeds or instrumentalities pending further proceedings.

3. The Contracting Party that has custody over proceeds or instrumentalities of offenses shall dispose of them in accordance with its laws. Either Contracting Party may transfer to the other Contracting Party all or part of such assets, or the proceeds of

their sale, to the extent not prohibited by the transferring Contracting Party's laws and upon such terms as it deems appropriate.

#### **Article 18**

##### **Compatibility with Other Arrangements**

Assistance and procedures set forth in this Treaty shall not prevent either Contracting Party from granting assistance to the other Contracting Party through the provisions of other applicable international agreements, or through the provisions of its national laws. The Contracting Parties may also provide assistance pursuant to any bilateral arrangement, agreement, or practice that may be applicable.

#### **Article 19**

##### **Consultation**

The Central Authorities of the Contracting Parties shall consult, at times mutually agreed to by them, to promote the most effective use of this Treaty. The Central Authorities may also agree on such practical measures as may be necessary to facilitate the implementation of this Treaty.

#### **Article 20**

##### **Ratification, Entry Into Force, and Termination**

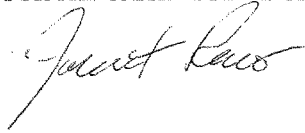
1. This Treaty shall be subject to ratification, and the instruments of ratification shall be exchanged as soon as possible.
2. This Treaty shall enter into force upon the exchange of instruments of ratification.
3. This Treaty shall apply to any request presented after the date of its entry into force whether the relevant acts or omissions occurred prior to or after that date.

4. Either Contracting Party may terminate this Treaty by means of written notice to the other Contracting Party. Termination shall take effect six months following the date of receipt of the notification.

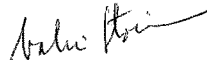
IN WITNESS WHEREOF, the undersigned, being duly authorized for this purpose, have signed this Treaty.

DONE at Washington, in duplicate, this twenty-sixth day of May, 1999, in the English and Romanian languages, both texts being equally authentic.

FOR THE UNITED STATES OF AMERICA:

A handwritten signature in cursive script, appearing to read "Janet Reno".

FOR ROMANIA:

A handwritten signature in cursive script, appearing to read "Valer Stancu".

## Form A

## CERTIFICATION OF BUSINESS RECORDS

I, \_\_\_\_\_  
[name], attest on penalty of criminal punishment for false statement  
or attestation that I am employed by/associated with \_\_\_\_\_  
[name of business from which documents are sought]  
in the position of \_\_\_\_\_  
[business position or title] and by reason of my position am authorized  
and qualified to make this attestation. Each of the records attached hereto is a record in  
the custody of the above-named business that:

- (A) was made, at or near the time of the occurrence of the matters set forth, by  
(or from information transmitted by) a person with knowledge of those  
matters;
- (B) was kept in the course of a regularly conducted business activity;
- (C) was made by the business as a regular practice; and
- (D) if not an original record, is a duplicate of the original.

\_\_\_\_\_  
[date of execution]

\_\_\_\_\_  
[place of execution]

\_\_\_\_\_  
[signature]

## Form B

**CERTIFICATION OF ABSENCE OR  
NONEXISTENCE OF BUSINESS RECORDS**

I, \_\_\_\_\_<sup>[name]</sup>\_\_\_\_\_, attest on penalty of criminal punishment for false statement or attestation that I am employed by/associated with \_\_\_\_\_<sup>[name of business from which documents are sought]</sup>\_\_\_\_\_ in the position of \_\_\_\_\_<sup>[business position or title]</sup>\_\_\_\_\_ and by reason of my position am authorized and qualified to make this attestation.

As a result of my employment/association with the above-named business, I am familiar with the business records it maintains. The business maintains records that are:

- (A) made, at or near the time of the occurrence of the matters set forth, by (or from information transmitted by) a person with knowledge of those matters;
- (B) kept in the course of a regularly conducted business activity; and
- (C) made by the business as a regular practice.

Among the records so maintained are records of individuals and entities that have accounts or otherwise transact business with the above-named business. I have made or caused to be made a diligent search of those records. No records have been found reflecting any business activity between the business and the following individuals and entities:

\_\_\_\_\_<sup>[date of execution]</sup>\_\_\_\_\_

\_\_\_\_\_<sup>[place of execution]</sup>\_\_\_\_\_

\_\_\_\_\_<sup>[signature]</sup>\_\_\_\_\_



## Form C

## CERTIFICATION OF OFFICIAL RECORDS

I, \_\_\_\_\_  
[name], attest on penalty of criminal punishment for false statement  
or attestation that:

1. \_\_\_\_\_  
[name of office or agency] is an office or agency of \_\_\_\_\_  
[country] and  
is authorized by law to maintain official records setting forth matters authorized by law  
to be reported and recorded or filed;
2. My position with the above-named public authority is \_\_\_\_\_  
[official title];
3. In my official capacity I have caused the production of true and accurate  
copies of records maintained by that public authority; and
4. Those copies are described below and attached.

## Description of Documents:

\_\_\_\_\_  
[signature]\_\_\_\_\_  
[date]*Official Seal*

## Form D

CERTIFICATION OF ABSENCE OR  
NONEXISTENCE OF OFFICIAL RECORDS

I, \_\_\_\_\_  
[name], attest on penalty of criminal punishment for false statement  
or attestation that:

1. \_\_\_\_\_  
[name of office or agency] is an office or agency of \_\_\_\_\_  
[country]  
and is authorized by law to maintain official records setting forth matters authorized by  
law to be reported and recorded or filed;

2. Records of the type described below set forth matters that are authorized by  
law to be reported and recorded or filed, and such matters regularly are recorded or filed  
by the above-named public authority;

3. My position with the above-named public authority is \_\_\_\_\_  
[official title];

4. I have made or caused to be made a diligent search of the records  
maintained by that public authority; and

5. No such records have been found to exist therein.

Description of Documents:

\_\_\_\_\_  
[signature]

\_\_\_\_\_  
[date]

*Official Seal*

## Form E

CERTIFICATION WITH RESPECT  
TO SEIZED ITEMS

I, \_\_\_\_\_<sub>[name]</sub>\_\_\_\_\_, attest on penalty of criminal punishment for false statement or attestation that:

1. My position with \_\_\_\_\_<sub>[country]</sub>\_\_\_\_\_ is \_\_\_\_\_<sub>[official title]</sub>\_\_\_\_\_  
including agency \_\_\_\_\_;
2. I received custody of the items listed below from \_\_\_\_\_<sub>[name of person]</sub>\_\_\_\_\_  
on \_\_\_\_\_<sub>[date]</sub>\_\_\_\_\_, at \_\_\_\_\_<sub>[place]</sub>\_\_\_\_\_; and
3. I relinquished custody of the items listed below to \_\_\_\_\_<sub>[name of person]</sub>\_\_\_\_\_  
on \_\_\_\_\_<sub>[date]</sub>\_\_\_\_\_, at \_\_\_\_\_<sub>[place]</sub>\_\_\_\_\_ in the same condition as when I received  
them (or, if different, as noted below).

Description of Articles:

Changes in condition while in my custody:

\_\_\_\_\_<sub>[date of execution]</sub>\_\_\_\_\_

\_\_\_\_\_<sub>[place of execution]</sub>\_\_\_\_\_

\_\_\_\_\_<sub>[signature]</sub>\_\_\_\_\_

*Official Seal*